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Asset management – Guidance for development of public policy to enable asset management

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Titre manque

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ISO/DIS 55011:2023(E)84 **Foreword**

85 ISO (the International Organization for Standardization) is a worldwide federation of national standards
86 bodies (ISO member bodies). The work of preparing International Standards is normally carried out through
87 ISO technical committees. Each member body interested in a subject for which a technical committee has
88 been established has the right to be represented on that committee. International organizations,
89 governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely
90 with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

91 The procedures used to develop this document and those intended for its further maintenance are described
92 in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types
93 of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the
94 ISO/IEC Directives, Part 2 (see www.iso.org/directives).

95 Attention is drawn to the possibility that some of the elements of this document may be the subject of patent
96 rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent
97 rights identified during the development of the document will be in the Introduction and/or on the ISO list
98 of patent declarations received (see www.iso.org/patents).

99 Any trade name used in this document is information given for the convenience of users and does not
100 constitute an endorsement.

101 For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions
102 related to conformity assessment, as well as information about ISO's adherence to the World Trade
103 Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL:
104 www.iso.org/iso/foreword.html.

105 This document was prepared by Technical Committee ISO/TC 251, *Asset management*.

106 Any feedback or questions on this document should be directed to the user's national standards body. A
107 complete listing of these bodies can be found at www.iso.org/members.html.

108 Introduction

109 0.1 Purpose

110 This document provides guidance to advance the adoption of asset management through public policy,
111 specifically focused on the external context of all organizations that manage assets.

112 This guidance defines and describes an enabling environment for asset management, and outlines how it can
113 be created, sustained, and improved through the use of public policy (see Clause 4).

114 It outlines how participants in that environment can act and interact with one another to influence the
115 development and deployment of public policies to enable asset management in their countries and
116 jurisdictions (see Annex A and Annex B).

117 It provides a consistent approach (see Annexes C and D) to the development of public policy instruments
118 (see 5.2.1) that enable asset management and help achieve government objectives. These may include
119 implementing a framework of common principles for effective public investment (see Table 1), achieving the
120 United Nations Sustainable Development Goals (SDGs), and otherwise generating greater value to society.

121 0.2 Relationship with other standards

122 ISO 55000 provides context for the documents produced by ISO/TC 251 concerning asset management.

123 ISO 55001 specifies requirements for an organizational “asset management system” and ISO 55002 gives
124 guidance to an organization on the application of ISO 55001.

125 All concepts, terms and definitions in those standards are written from the perspective of each individual
126 organization. From this perspective, the external context within which an organization operates is created
127 by conditions established by its external influencers.

128 This document is written from a broader perspective and recognizes that many different individuals and
129 organizations (“participants”) are involved in advancing the adoption of asset management in their
130 respective countries and jurisdictions. It is intended to positively shape the external context of all
131 organizations, rather than any single organization, through the development or influencing the development,
132 of supportive public policies.

133 0.3 Target audience

134 This document is primarily intended for those individuals and organizations that want, and are able, to
135 advance and support the adoption of asset management in their respective countries or jurisdictions through
136 public policy. Secondary users are intended to be individuals and organizations that want to advance and
137 support the adoption of asset management and who are seeking guidance on how to do so.

138 NOTE 1 This guidance is relevant to all levels of government. The target audience includes government officials who
139 recognize the benefits of asset management and would like, and are able, to advance asset management through their
140 work. Characteristics of these individuals can include those who:

141 — advise on public policy;

142 — implement public policy;

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- 143 — issue implementing agency guidance;
- 144 — issue executive guidance;
- 145 — issue final regulations;
- 146 — submit proposed legislation or regulations;
- 147 — approve proposed legislation or regulations;
- 148 — pass legislation;
- 149 — are involved in the development of legislation, policy, reporting and control frameworks, including audits;
- 150 — influence policy makers who can mandate asset management and/or support the adoption and allocation of
- 151 resources;
- 152 — set strategic direction for public policy.

153 NOTE 2 The target audience can also include non-government individuals and organizations who recognize the benefits
 154 of asset management and would like, and are able, to influence the public policy formulation processes used by
 155 governments as well as the standards development processes used by non-government standards bodies for advancing
 156 asset management.

157 0.4 Document Structure

158 The document is structured according to the following:

- 159 — **Introduction** – sets out the purpose, acknowledges the relationship with other asset management
- 160 standards, and identifies the target audience. Benefits of this standard are also outlined.
- 161 — **Scope**
- 162 — **Normative references**
- 163 — **Terms and definitions**
- 164 — **The enabling environment** – describes the context in which relevant participants in the policy making
- 165 process can use public policy instruments to achieve asset management outcomes
- 166 — **Public policy instruments** – identifies the public policy instruments deployed by governments to
- 167 enable asset management
- 168 — **Developing public policy instruments** – sets out principles for effective public investment, how
- 169 public policy instruments can be developed to enable asset management, and elements of good practice
- 170 — **Annexes** – provides detail on government and non-government participants, potential behaviors and
- 171 actions they can take to enable asset management. It documents case studies based on global best
- 172 practices demonstrating development and application of public policy instruments that enable asset
- 173 management.

174 0.5 Benefits of this standard

175 0.5.1 General

176 The benefits of asset management to individual organizations are described in ISO 55000.

177 Adoption of this document can improve the overall maturity of asset management within businesses,
 178 organizations, and nationally across countries. From a broader perspective, this can help achieve

179 governmental objectives such as providing improved public services, infrastructure that supports the
180 desired level for service, and safer public infrastructure at all levels of government, improving the country's
181 competitiveness in trade with other countries, assuring that taxpayers get a better return on their taxes, and
182 being more responsive to societal well-being.

183 Benefits of adopting this document are outlined in 0.5.2 and 0.5.3.

184 The benefits of supporting the adoption of asset management for government and non-government
185 participants are described in more detail in Annexes A and B, respectively.

186 **0.5.2 Benefits of a consistent approach**

187 An effective enabling environment for asset management should result in the broad adoption of a consistent
188 approach to asset management across the organizations that own and operate assets within a country or
189 jurisdiction. Adopting a consistent approach has its own benefits, which include:

- 190 a) using consistent terminology to discuss asset management and common processes to create asset
191 management systems;
- 192 b) having agreed minimum datasets that:
 - 193 — reduce duplication of effort by asset owners when providing minimum consistent elements for
194 different jurisdictions;
 - 195 — enable alignment, closer collaboration and facilitates dialogue between jurisdictions, associations,
196 and regulators;
- 197 c) creating a community of practice with common objectives and common understandings to promote
198 better performance outcomes both internal and external to organizations;
- 199 d) alignment with common certification programs, to demonstrate asset management proficiency among
200 practitioners.

201 **0.5.3 Beneficial outcomes of adopting this document**

202 When an enabling environment for asset management is successfully realized the expected outcomes or
203 benefits include, but are not limited to, the following:

- 204 a) better use of financial and non-financial resources, including:
 - 205 — enabling greater resource efficiency (e.g., from energy, water, materials, land and labour), while
206 reducing environmental impacts and sustaining service delivery;
 - 207 — contributing to a better use of finances, ensuring quality services with an acceptable return on
208 investment and a predictable life cycle cost,
 - 209 — facilitating the identification of the human resources that will be required to operate the assets and
210 their enablers, their competencies and the scheduling of their induction;
- 211 b) satisfaction of the needs and expectations of stakeholders, in particular taxpaying citizens, by providing
212 quality services;

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- 213 c) alignment of government objectives, at different levels of administration and in public services
214 providers, contributing to the achievement of national or subnational objectives;
- 215 d) improved decision making over the long term, including those:
- 216 — that reduce the risks of inefficient use of funding from taxpayers' and other funding providers';
 - 217 — taken over the entire life cycle of the assets, allowing optimization of the total life cycle cost, through
218 the cost-risk-performance analysis;
 - 219 — that consider the impacts of climate change and the need for climate resilient assets;
- 220 e) fostering research and innovation partnerships;
- 221 f) maximization of value delivered to society by national and/or subnational assets;
- 222 g) continued improvement of the services provided by the state or non-government service providers;
- 223 h) improved transparency and accountability of government actions;
- 224 i) ability to promote, interact with, and meet the requirements of other policy objectives, such as the
225 United Nations "Sustainable Development Goals".
- 226 j) effective risk management, which can lead to:
- 227 — reduced financial loss, improved safety, goodwill, and reputation, and minimizing environmental
228 and social impacts;
 - 229 — reduced liabilities for insurance premiums, fines, penalties, etc.;
 - 230 — build resilience, better response and continuity of service;
- 231 k) demonstrated social responsibility, which can:
- 232 — improve the organization's ability to reduce emissions, conserve resources and adapt to climate
233 change;
 - 234 — enable the organization to demonstrate social responsibility and ethical business practices.
- 235 See Annex E for example case studies demonstrating how benefits can be achieved by using the approaches
236 and practices identified in this document.

237 0.6 Further information about ISO/TC 251 and on asset management

238 ISO/TC 251 maintains a website that provides additional information about asset management and on the
239 documents it produces. This can be found at: <https://committee.iso.org/home/tc251>

241 Asset management — Guidance for development of public 242 policy to enable asset management

243 1 Scope

244 This document provides guidance for establishing, sustaining, and improving an enabling environment for
245 asset management through public policy. It is applicable to all types and levels of government.

246 NOTE 1 This document acknowledges government officials as the primary participants in the public policy process and
247 recognizes other participants who can be involved in that process. While ISO 55000, ISO 55001 and ISO 55002 make
248 reference to organizational policy, this document refers to public policy.

249 NOTE 2 This document is intended to provide guidance on the development and application of policy instruments based
250 on international best practices. It is not intended to provide guidance on general public policy making or on political
251 issues.

252 NOTE 3 The focus of this document is on influencing the choice and development of public policy instruments that
253 promote the adoption of asset management and use of asset management systems through ISO 55001 and ISO 55002.

254 2 Normative references (standards.iteh.ai)

255 The following documents are referred to in the text in such a way that some or all of their content supports
256 this document. For dated references, only the edition cited applies. For undated references, the latest edition
257 of the referenced document (including any amendments) applies.

258 ISO 55000, *Asset Management — Overview, principles, and terminology*

259 3 Terms and definitions

260 For the purposes of this document, the terms and definitions given in ISO 55000 and the following apply.

261 3.1 262 capacity-building

263 provision of relevant competencies, skills, knowledge, experiences, and the associated funding, technology,
264 and other resources that enable individuals or organizations to accomplish new tasks to achieve asset
265 management objectives
266

267 [SOURCE: Federation of Canadian Municipalities, 2019 - modified]
268

269 3.2 270 enabling environment for asset management

271 the set of circumstances, objects, or conditions, external to organizations managing the assets, that positively
272 affect their adoption of asset management and the achievement of government objectives
273
274
275

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276 Note 1 to entry: Enabling environments for asset management are unique to different countries or regions and may be
 277 unique to different geographic areas within a country. Examples of conditions may include physical conditions (e.g.,
 278 natural resources) or non-physical conditions (e.g., legal, bureaucratic, fiscal, informational, political, and cultural).
 279

280 Note 2 to entry: Commonly agreed-on aspects of the enabling environment for asset management typically feature
 281 across five categories – economic, political, administrative, socio-cultural and resources. These factors provide the
 282 context for incentives and opportunities in the achievement of government objectives (including through asset
 283 management). For example, economic factors including the funding of physical infrastructure or administrative actions
 284 may include creating incentives for performance.
 285

286 Note 3 to entry: Public policies are developed and issued by different levels of government, each of which can have its
 287 own enabling environment for asset management consisting of varying conditions.
 288

289 Note 4 to entry: This document focuses on the conditions in the external context created by the contribution, interests
 290 and demands of non-government participants and the strategic directions of government participants which can be
 291 modified by public policies.
 292

293 [SOURCE: Amjad et al. 2015; Ojomo 2016 - modified]
 294

295 3.3 296 governance

297
 298 system of directing and controlling
 299

300 [SOURCE: ISO/IEC TR 29110-5-3:2018. 3.11]
 301

302 3.4 303 government

304 act of, or responsibility for, managing, governing and promoting development of a jurisdiction, including
 305 responsibilities for the definition, design, development and institutionalization of public policies expressed
 306 in the provision of products and services to its stakeholders
 307

308
 309 Note 1 to entry: Government can refer to the act of governing, as well as the institutions responsible for governing.
 310

311 Note 2 to entry: The term “governments” refers to all levels of government.
 312

313 Note 3 to entry: “The government” is usually used to designate the highest instance of executive administration (the
 314 power of the state that, according to the constitution of a country, has the attribution of governing the people and
 315 administering public interests, faithfully complying with legal ordinances), generally recognized as the leadership of a
 316 State (refers to any sovereign country, with its own politically organized structure, as well as designating the set of
 317 institutions that control and administer a nation) or a nation. States may have several levels or spheres of Government,
 318 depending on the political organization of that country, such as local or municipal, regional or state governments and
 319 national or federal.
 320

321 3.5 322 local government

323 organization that is responsible for the *governance* (3.3) of a local area and for providing services, etc.
 324

325 Note 1 to entry: Local government may be a level of *subnational government* (3.13) in non-federal countries and a sub-
 326 regional level of *government* (3.4) in federal countries.
 327

328 Note 2 to entry: The terms “regions” and “local” can also refer more generically to subnational territories with specific
329 socio-economic or territorial characteristics that may or may not correspond to administrative or political units.

330

331 **3.6**
332 **public investment**

333 investment spending by *government* (3.4) on physical infrastructure (e.g. roads, public buildings) and
334 intangible infrastructure (e.g. human capital development, innovation, research and development) with a
335 long-term productive life

336 Note 1 to entry: Statistics generally capture direct public investment as measured by gross fixed capital formation.

337 **3.7**
338 **public policy**

339 principled guide to a course of actions taken by the *government* (3.4) as a response to a perceived need,
340 formulated by a specific political process, and adopted, implemented, and enforced by a specific public
341 agency, expecting results

342 Note 1 to entry: Public policy is different from the term “policy” within 55000. In ISO 55000, “Top management” issues
343 policies that provide intention and direction of the organization. In this document, government organizations issue
344 public policies that typically provide a “principled guide” to be followed by various organizations within their
345 jurisdictions. Examples of public policy in this context that enable asset management include those in 6.2.

346
347 [SOURCE: ISO 18091:2019, 3.11, modified – Note 1 to entry has been added]

348
349 **3.8**
350 **public policy instrument**

351 intervention made by *government* (3.4) which is intended to support achievement of *public policy objectives*
352 (3.10)

353 Note 1 to entry: See Figure 1, 5.2.1, and Annex C for examples.

354 **3.9**
355 **public policy maker**

356 those who are representative of *government* (3.4) and responsible for developing, administering, or
357 influencing *public policy* (3.7)

358 Note 1 to entry: A public policy maker is not necessarily responsible for implementing public policy.

359 Note 2 to entry: Public policy makers can include regulators, elected officials [politicians] and their delegates, and public
360 administrators.

361
362 **3.10**
363 **public policy objectives**

364 result to be achieved by a *public policy* (3.7)

365 **3.11**
366 **public policy process**